



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Peter B. Madoff et al. Art Unit : 3621
Serial No. : 09/272,542 Examiner : Hewitt, Calvin
Filed : March 19, 1999
Title : AUCTION MARKET WITH PRICE IMPROVEMENT MECHANISM

MAIL STOP AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Applicants request consideration of the references listed on the attached PTO-1449 form. Under 37 C.F.R. § 1.98 (a)(2)(ii), only copies of foreign patent documents and/or non-patent literature are enclosed. Copies of any listed U.S. patents or U.S. patent application publications can be provided upon request.

This statement is being filed after a first Office action on the merits, but before receipt of a final Office action or a Notice of Allowance. A check for \$180 in payment of the late submission fee of §1.17(p) is enclosed. Please apply any other charges or credits to Deposit Account No. 06-1050.

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Applicant : Peter B. Madoff et al.
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Page : 2 of 2

Attorney's Docket No.: 10575-002001

Respectfully submitted,

Date: 10/20/01

Denis G. Maloney
Denis G. Maloney
Reg. No. 29,670

Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110
Telephone: (617) 542-5070
Facsimile: (617) 542-8906

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Substitute Form PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark OfficeAttorney's Docket No.
10575-002001Application No.
09/272,542**Information Disclosure Statement
by Applicant**

(Use several sheets if necessary)

Applicant
Peter B. Madoff et al.Filing Date
March 19, 1999Group Art Unit
3621**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	"The Essential Dictionary of Investing & Finance," Rosenberg, J.M., Barnes & Nobles Books, New York, pp. 286-287, 296-297.
	AR	"Dictionary of Finance and Investment Terms," Downes, J., et al., Barron's Financial Guides, Third Edition, pp. 36-37, 288-289, 300-301.
	AS	NASD, Glossary of Terms, http://www.nasd.com/web/idcplg?IdcService=SS_GET_PAGE&ssDocName=NASDW_01...2/2/05 , 6 pgs.
	AT	NYSE, New York Stock Exchange, http://www.nyse.com/glossary/1042235996348.html , 2/2/05, 3 pgs.

Examiner Signature

Date Considered

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 10575-002001	Application No. 09/272,542
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Peter B. Madoff et al.	
		Filing Date March 19, 1999	Group Art Unit 3621

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AU	NASD Glossary of Analyst Research Report Terms, http://www.nasd.com/web/idcplg?IdsService=SS_GET_PAGE&ssDocName=NASDW_01...2/2/05 , 1 pg.
	AV	InvestorWords.com, http://www.investorwords.com/3495/order.html , 2/2/05, 3 pgs.
	AW	Clarendon Securities - Glossary, http://www.clarendonsecurities.com/cs_glossary.htm , 2/2/05, 4 pgs.
	AX	Yahoo Financial Glossary, http://biz.yahoo.com/f/g/bb.html , 2/7/05, 3 pgs.
	AY	StreetAuthority.com, http://www.streetauthority.com/terms/b/bidprice.asp , 2/7/05, 1 pg.
	AZ	National Financial - Trade Execution Quality, http://www.nationalfinancial.com/legal/definitions.html , 2/7/05, 2 pgs.
	AAA	Christian Financial Definitions and Biblical financial terms, http://www.prestigeadvisors.com/Definitions.htm , 2/2/05, 1 pg.
	ABB	marketVolume Analysis, http://www2.marketvolume.com/glossary/o0125.asp , 2/7/05, 3 pgs.
	ACC	Legal & Compliance, Investor Terms Directory, http://www.investorterms.com/terms/Bid.htm , 2/2/05, 3 pgs.

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